



USAID Science, Technology, Research, and Innovation for Development (STRIDE)

Grants Application Guidelines

Purpose

Research Triangle Institute (RTI) International is the implementing partner for the USAID Science, Technology, Research, and Innovation for Development (STRIDE) program, a five-year program, which aims to enhance the Philippine's capacity for innovation-led economic growth by building capacity of the university sector for industry-relevant applied research. This is in response to the need of improving the current system of higher education for Science, Technology, and Innovation (STI) to promote innovation and upgrading in the Philippine industries.

RTI STRIDE will be awarding grants under two types of program:

- ***Collaborative Applied Research with Industry (CARWIN) Grants.*** This is an opportunity for Philippine universities to increase their capacity to work with industry on a joint university-industry research. Technical support to the university-industry partnership will be provided by STRIDE and one of the partner U.S. universities of STRIDE.
- ***Philippine-U.S. Research and Exchange (PURE) Grants.*** This is an opportunity for Philippine universities to conduct joint research with a U.S. university of their choice on a topic relevant to Philippine industry. The grant will include mobility fund for the university partners.

Grant value/inclusions:

Each grant will fund research work for up to US\$80,000 within a period of up to 12 months.

Fields of study:

Research topic for CARWIN and PURE Grants are preferably, but not exclusively, focused on these sectors: manufacturing/ engineering, electronics/ semiconductor, health and medical, information and communications technology, energy, environment protection and preservation, aquatic/ marine, food processing, crop production, and natural sciences.

Who can apply?¹

Collaborative Applied Research with Industry (CARWIN) Grants

- Applicants must be Philippine academic institutions with an identified Philippine industry partner with the capacity to conduct collaborative research work. Industry partners can either be not-for-profit or for-profit organizations operating in the Philippines.
- Must have a letter of commitment from the co-applicant industry partner
- Preferably with experience in joint university-industry research collaboration
- The principal investigator must come from the applicant university and preferably has prior experience in collaborative research with industry.

Philippine-U.S. Research and Exchange (PURE) Grants

- Applicants must be Philippine academic institutions with the capacity to conduct joint research work and preferably with track record in collaborative research.
- Must have a letter of commitment from the principal investigator, who is a faculty member of applicant Philippine university and preferably with experience of joint research.
- Proof of communication to do a joint research with U.S. university with existing strong linkages to global industries.

Application requirements:

- Completed Main Grant Application Form and Supplementary Information form with the required attachments in the prescribed formats and templates:
 - Technical proposal with research description, implementation plan, and monitoring and evaluation plan
 - Budget with cost share and budget narrative
 - Management systems questionnaire
 - Certifications
- Cover letter duly signed by the Philippine academic institution

Evaluation Criteria

All applications shall be evaluated by the STRIDE evaluation committee whose members are eminent scientists and engineers. Applications submitted will be assessed using the following criteria:

¹ Academic institutions who are interested to apply for the grants program but do not have a Philippine industry or U.S. university partner are encourage to request a meeting with STRIDE. STRIDE can assist for a possible partnership matching.

- Technical approach 30%
- Monitoring, evaluation and sustainability 30%
- Organizational capacity and past performance 20%
- Capacity Building 10%
- Cost effectiveness 10%

Technical approach

- **Responsiveness/ significance of the proposal to the objectives of the STRIDE program.**
- **Clarity of objectives of the proposal.** Objectives are clearly defined and measurable, including a thorough understanding of potential risks for the project.
- **Project Activities.** Activities are realistic and linked to the objectives of the project.
- **The research method is feasible and realistic.** The research method is described clearly and in line with the proposed project result/ impact.

Monitoring, evaluation and sustainability

- **Monitoring and Evaluation.** The reviewers will assess if the application has a clear set of relevant, reliable and valid method of data collection. A possible method of data analysis should also be proposed.
- **Sustainability plan.** The application is planned within a long-term perspective and includes potential for commercialization.

Organizational capacity and past performance

- **Key personnel.** The key personnel have sufficient knowledge and experience on the technology area of the project.
- **Organizational capacity.** The applicant organization has the knowledge, experience, and capacity to successfully implement the project.
- **Past performance on similar programs** Consistency in meeting objectives and targets of past projects would be desirable.

Capacity Building

- **Activities.** Activities included in the proposed project to be undertaken to enhance the institutions ability to deliver more and high quality research in the future.

Cost effectiveness

- **Budget.** The budget is realistic and clearly link to the achievement to the objectives of the project.
- **Cost Share.** Applicant cost share, either in direct or indirect funding included in the budget application.

Filling in the application forms

Main Grant Application Form and Supplementary Information Form

The application forms must be completed in full and all required attachments are submitted.

Data Universal Number System (DUNS)

The **DUNS** number is a unique nine-character number that identifies your organization. It is a tool of the federal government to track how federal money is distributed. Applicants must apply and obtain this online. Kindly refer to the instructions attached to the main grant application form for the application procedure.

Technical proposal/ Program description

The applicant must describe in detail the program of activities proposed to be supported by the grant. The program description must be results-oriented. Result is a significant, intended, and measurable change in the condition of the beneficiary, or a change in the host country, institutions, or other entities that will affect the beneficiary directly or indirectly. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent result(s) were achieved. An excellent program description should address the following:

(a) Applicant's understanding of the "development challenge," opportunity, or problem. The applicant should discuss what political, social, economic, and environmental conditions(s) require(s) changing. *How does the applicant know what needs changing? What appraisals, evaluations, needs analysis and other methodologies were used to understand what requires changing?*

(b) Applications must clearly identify the beneficiaries, their number, location, and anticipated benefits that they will receive. *What are the intended results (i.e., changes in conditions)?*

(c) The link of the challenge, opportunity, or problem to the key objectives of the overall project. *How will results contribute to the achievement of strategic objectives? What are the external factors and other critical assumptions that are likely to facilitate or hinder the achievement of the results?*

Implementation Plan

The implementation plan should show how the anticipated results would be achieved. *What activities, processes, or strategies are essential to achieve the results? Why will the planned work lead to the intended results? What is the anticipated timetable for the achievement of the results?*

Monitoring and Evaluation

Monitoring and Evaluation Plan should contain a set of indicators that would permit continuous measurement of progress toward targeted results. *For each result, what is the performance indicator? What is the baseline data? What is the performance target? What is the timetable for achieving results? For each performance indicator, what is the definition*

and what is the unit of measurement? What are the plans for reporting and using the performance information?

Budget with cost share and budget Narrative

The project budget must be drafted according to the following rules:

Project costs

Research and activity costs are any costs directly related to the project implementation. Research and activity costs may include research materials, travel cost, conferences, professional fees/ honorarium, event expenses, and other costs related to activities that are essential to the implementation of the project.

Administration costs are any costs directly related to the administration of the project. Administration costs include salaries, office supplies, telephone bills, office utilities, local transportation, costs of regular meetings, reporting costs, etc.

Cost Share

Grantees are required to provide cost share of at least 10 percent of the total grant award as part of the grant application process. This should be included and detailed in the budget and budget narrative. Cost share contributions can be in the form of cash or in-kind.

Cash contributions: The grantee's cash outlay, including the outlay of the money contributed to the grantee by third parties.

In-kind contributions: Non-cash contributions in the form of real property, equipment, supplies, and other expendable property, and the value of goods and services benefitting and specifically identifiable to the program.

Unallowable costs

The following project costs are not eligible for support by USAID STRIDE program:

- Cost related to fund-raising events
- Advertising except for employee recruitment, acquiring scarce items for contract performance, and disposing of scrap materials acquired for contract performance.
- Costs of promotional items and memorabilia, including gifts and souvenirs
- Alcoholic beverages
- Costs of amusement, social activities, and ceremonials
- Membership in any country club or social or dining club
- Contributions and donations
- Fines and penalties
- Interest and other financial costs
- Legal proceedings
- Lobbying and political activity costs

Management system questionnaire

The questionnaire gathers information on whether and how the applicant meets the standards of responsibility, thus RTI can assess the risk level of the grantee. The form must be completed in full and all required attachments are submitted.

Intellectual Property

The implementing partner institutions must have an executed agreement prior to the award of the grant for the sharing of the intellectual property as a result of the collaborative and joint research work. RTI and USAID may also use the research output in any legal purpose beneficial to the organizations.

Submission of application

Applications must be emailed to helpdesk@stride.rti.org no later than 5:00 pm local time on April 15, 2014. The deadline is final and not up for discussion.

Indicate on the subject of the email the type of grant (CARWIN or PURE) applying for.

Selection Process

All applications submitted within the set deadline will undergo a screening process set below:

1. Applications are subjected to an initial screening by checking and verifying the eligibility requirement. Also, ensuring completeness of the required documentation. Applications that are submitted late and incomplete will not be considered for further review.
2. Applications that passed the initial screening will undergo an impartial review and evaluation using the set of criteria describe on this guideline. The review will be done by the STRIDE evaluation committee.
3. The evaluation committee will come up with shortlisted highest rated applications.
4. STRIDE in consultation with USAID and STRIDE Advisory Board (SAB) will decide on which applications to approve.
5. STRIDE will notify successful applicants by email.

Execution of Grant Award

The grantee shall receive the agreement for signature within two months from the time that the successful applicant has been announced and notified.

Disbursement of Funds

Funds can be disbursed either through the cost reimbursement method or issuance of advances. Advances will be issued to grantees on a working capital basis and limited for up to 30 days during the project start up.